

Division of Aging (DA) Incident Reporting: Policy & Procedures

- It is the policy of the DA to ensure the health, safety, and welfare of all individuals receiving services administered through the DA. This applies to “Reportable Unusual Occurrences.”
- **Anyone**, including providers; their staff; case managers; and others; with knowledge of an incident that affects, or potentially affects, the individual’s health, safety, or welfare shall submit an initial Incident Report (IR).

Incident Reporting: Policy

- An IR involving an **allegation or suspicion of abuse, neglect, or exploitation of a participant or the death of a participant** must be submitted within **24 hours** of the incident or knowledge of the incident or death. It must also be reported to Adult Protective Services (APS) for participants age 18 and older or to Child Protective Services (CPS) for participants under age 18.
- Any staff suspected, alleged, or involved in an incident of abuse, neglect or exploitation must be suspended immediately, pending investigation by the provider.
- All other incident reports of **unusual occurrences** affecting the participant's health, safety and welfare are required to be submitted within **48 hours** of the time of the incident or when the provider became aware of the incident.

Incident Reporting Procedure: How to Report

- An IR is filed through the DDRS/DA IR Automated System; the system can be accessed at:
<https://ddrsprovider.fssa.in.gov/IFUR/>
- The narrative of the IR should be concise and brief, but include:
 - **Who** is involved
 - **What** happened
 - **WHY** it is a significant or unusual issue
 - **When** did incident occur
 - **Where** did incident happen and
 - **What** steps are being taken or have been taken to resolve the incident.

Incident Reporting Procedure:

Who else receives the report

- If the IR includes suspected or actual abuse, neglect, exploitation or the participant's death it must also be reported to either APS or CPS.
 - Indicate in the narrative of the IR that the **local** APS/CPS unit located in the participant's county of residence was contacted and provide the contact name and date of contact.
 - If IR is faxed to APS/CPS, keep a copy of the Sent/Delivery receipt.
- A copy of the IR should be forwarded to the individual participant or their legal representative and any of the following groups as appropriate: participant's case manager if incident is not filed by them, local law enforcement, AAA, and other service providers.

Reportable Unusual Occurrences

- In addition to reporting abuse, neglect, exploitation or the participant's death within 24 hours the following unusual occurrences must be reported within **48** hours of knowledge:
 - Significant injury to participant, including but not limited to: a fracture, a burn greater than first degree, choking that requires intervention, contusion or lacerations.
 - Injuries of unknown origins.

Reportable Unusual Occurrences

- Environmental or structural problems associated with a dwelling where the participant resides that compromises the health, safety, or welfare of the individual.
- A residence that compromises the health, safety, and welfare of the participant due to the interruption of a major utility.
- A residential fire resulting in relocation, personal injury, and/or property loss. (could be a participant's home or facility where they live).

Reportable Unusual Occurrences

- Suspected or observed criminal activity by a staff member or agent of a provider; a family member, or by the participant receiving services.
- A major disturbance or threat to public safety created in the community by the participant.
- Police involvement when there is an arrest of the participant or their informal support (such as family).
- Suicidal ideation or a suicide attempt that had the potential to cause physical harm, injury, or death.

Reportable Unusual Occurrences

- Participant becomes a missing person
- Inadequate staff support, including inadequate supervision, leading to failure to follow participant's Plan of Care (POC).
- Medication error that involves:
 - **wrong medication**
 - **wrong dosage**
 - **missed dosage**
 - **wrong route of administration**

Reportable Unusual Occurrences

- Significant change in Health Status.
- Admission of a participant to a nursing facility (NF), excluding a respite stay. See the following procedures listed on the next pages for the next steps for reporting and monitoring a NF admission.
- Any other **unusual** occurrence that affects the individual participant's health, safety and welfare.

Procedure: Admission to a Nursing Facility

- The case manager (CM) is responsible for filing an incident report within 48 hours of knowledge of nursing home admission.
- The IR must include: the participant's admission date, facility's name, contact name and phone number, and county of facility. The participant is put on **interrupted status in INsite**.
 - If there is any suspicion of alleged abuse, neglect, or exploitation the case will also be referred to APS/CPS.

Follow-up procedures for Non-Respite Nursing Facility (NF) Admissions

- The CM's follow-up report will be due 7 days after the NF admission. The report should note any discharge plans.
 - If the waiver participant will be returning home, the CM will review the NF discharge plan and revise the POC as needed. Then the CM will restart home and community-based services (HCBS) when appropriate to discharge date.
 - If the waiver participant will not be returning home, the CM will enter a new Data Entry Worksheet (DEW) and submit discharge plans from the HCBS program.

Incident Reporting: Review Procedure

- The DA staff will review the initial IR within 7.5 hours of receipt.
- If additional information is needed, the DA staff will contact reporter and ask for additional information.
- DA staff will make sure that the appropriate notifications have been made and may instruct reporter to make additional notifications.

Incident Reporting: Review Procedure

- The reviewer will either close the incident or determine if follow up reports are required from the CM.
- If there is a conflict of interest for the CM to do the follow-up, the AAA QA liaison will designate a staff person or the DA will designate a staff person.
- A feasible plan to resolve the incident shall be documented in either the initial or follow up on the IR.
- The reviewer may close the Incident if the consumer's health, safety or welfare concerns have been successfully resolved.
- If the Incident is not successfully resolved, the incident will be referred to the DA director or designee, and may require additional follow-up reports until the incident is successfully resolved.